

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Hiroyuki KANAYA

SERIAL NO: NEW APPLICATION

GAU:

FILED: HEREWITH

EXAMINER:

FOR: SEMICONDUCTOR DEVICE USING FERROELECTRIC FILM IN CELL CAPACITOR, AND METHOD FOR FABRICATING THE SAME

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☒ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**


- ☐ Each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment form is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Marvin J. Spivak

Registration No. 24,913

C. Irvin McClelland  
Registration Number 21,124



22850

**LIST OF RELATED CASES**

<u>Docket Number</u>	<u>Serial or Patent Number</u>	<u>Filing or Issue Date</u>	<u>Inventor/ Applicant</u>
PER CLIENT	6,521,927	02/18/03	HIDAKA et al.
204532US2S	6,603,161	08/05/03	KANAYA et al.

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CAPACITOR, AND METHOD FOR FABRICATING THE SAME

**STATEMENT OF RELEVANCY**

**Reference AO (2001-257320) on Form PTO-1449:**

Ferro-capacitor structure has similar structure. (Figure 2)

**Reference AP (11-17124) on Form PTO-1449:**

Plug structure has similar structure. (Figure 3)

**Reference AQ (2000-307079) on Form PTO-1449:**

This publication is referred to in the specification. See page 1, line 22.

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. <b>241958US2S</b>		SERIAL NO. <b>NEW APPLICATION</b>	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT <b>Hiroyuki KANAYA</b>			
				FILING DATE <b>HEREWITH</b>		GROUP	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	6,521,927 B2	02/18/03	Osamu HIDAKA, et al.			
	AB	6,603,161 B2	08/05/03	Hiroyuki KANAYA, et al.			
	AC						
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<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES                  NO		
	AO	2001-257320	09/21/01	Japan			X
	AP	11-17124	01/22/99	Japan			X
	AQ	2000-307079	11/02/00	Japan			X
	AR						
	AS						
	AT						
	AU						
	AV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW						
	AX						
	AY						
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							